



Centrálny depozitár cenných papierov SR, a. s.

Provision of Services Related to LEI

Version 2.2

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ABBREVIATIONS

CDCP	Centrálny depozitár cenných papierov SR, a.s.
GLEIF	(Global Legal Entity Identifier Foundation) – a non-profit foundation under the supervision of the ROC, which provides on its website centralized databases and entity reference data.
LEI	Legal Entity Identifier - the international identifier of a legal entity, the structure of which is determined by the international standard ISO 17442.
LOU	Local Operating Unit – for purposes of these policies, it is a CDCP or other entity that has been accredited by GLEIF depending on the context.
Terms and Conditions	Terms and conditions of LEI assignment, renewal and transfer.
ROC	Regulatory Oversight Committee

DEFINITIONS

LEI Application	Software through which LEI Entity and CDCP perform activities related to the assignment, renewal, and transfer of LEI.
Applicant	The Authorised person acting on behalf of the LEI Entity as a statutory body, through the power of attorney or other authorisation.
LEI Entity	The applicant to whom the LEI was assigned / renewed by CDCP or the applicant who transferred the LEI to the LEI registry of CDCP.
Agent	Person authorized to act on behalf of one or several LEI applicants.

1. Purpose of the Document

The purpose of the document is to inform the applicant or LEI Entity about the process of providing CDCP services related to the applicant's registration, LEI assignment, LEI update and renewal, LEI transfer and LEI search.

The formalities of the LEI assignment process, data management, renewal and transfer of LEI as well as other activities directly related to LEI in CDCP are regulated by the Terms and Conditions.

All necessary information about the LEI and related documents are published on the CDCP's website in the LEI section <https://www.cdcp.sk/lei/>.

2. CDCP as the LOU

CDCP is a Local Operating Unit (LOU) accredited by GLEIF to create and assign new LEIs, collect corresponding data, administer and renew these data. CDCP performs the activities of LOU in compliance with the GLEIS Governance Principles, mutual arrangements, rights and obligations with GLEIF, and individual recommendations of ROC.

CDCP is accredited for jurisdiction of the Slovak Republic and the Czech Republic only, and assigns new LEIs only to the Applicants domiciled in these two countries.

3. Registration of Applicant

The basic condition for LEI assignment is registration of an applicant, whereby the access to LEI application shall be created.

Registration of the applicant is simple and quick, and is realized through the CDCP website in the LEI section (<https://www.cdcp.sk/lei/>).

For registration purposes, the applicant shall provide, except the name and surname, also a phone number and contact e-mail address which serves also as **a login name**. The password has to contain at least 12 characters, of which are at least one capital letter, one digit and one special character.

Applicant's registration is completed after confirming the registration via the activation link, which is automatically sent to the e-mail address given as the login name.

The login name (e-mail address) is also used for linking the applicant's registration with the LEI request, respectively for displaying of assigned LEI, what requires entering of the contact e-mail address of the LEI applicant.

An alternative e-mail address is optional information. This address shall be used to contact the authorised person of the LEI entity in case the e-mail address (login name) is not functional or valid.

If the applicant does not know or has forgotten the login password, she/he can reset the password via the reset button in the LEI Application.

For the agent acting on behalf of more applicants is possible to access the LEI application with one login name (i.e. one registration is sufficient for all entities on whose behalf the agent is authorised to act). After login to LEI application the agent will see the LEI code and recorded data for each entity separately.

4. LEI Assignment Application (LEI)

Application for assignment of LEI can be only submitted by registered and logged applicant (refer to: *3. Registration of the applicant*) using an electronic form "Assignment of new LEI", which is accessible for the applicant after logging in to the LEI Application.

The application is submitted by an authorized person on behalf of the applicant (managing director, statutory representative, proxy etc.), and all mandatory fields in the form has to be filled in. Mandatory fields are marked with an asterisk (*).

The data in the form are divided into six blocks:

➔ Block No 1 –authorized person details

Field	Data to be filled
Name	Name of the person acting on applicant´s behalf (data from profile of the authorised person are populated automatically).
Surname	Surname of the person acting on applicant´s behalf (data from profile of the authorised person are populated automatically).
E-mail	Contact e-mail address of the person acting on applicant´s behalf (data from profile of the authorised person are populated automatically).
Phone Number	Contact phone number of the person acting on applicant´s behalf (data from profile of the authorised person are populated automatically).
Job Position	Select from the menu whether you act as the LEI Entity Statutory Body, Authorised Person (through the power of attorney), or Other Authorised Person.
Attached Documents	In case the person acts under authority of a Power of Attorney or similar authorisation, the document shall be attached in electronic form.

➔ Block No 2 – Company details

Field	Data to be filled
Legal Jurisdiction	The jurisdiction of the LEI Entity - select from displayed options
Entity Category	Select from: <ol style="list-style-type: none"> 1. Branch office 2. Fund 3. Entrepreneur - Natural Person 4. Company registered in the Companies Register 5. Company registered in other public register 6. Government body* 7. International organisation
Registration Authority	Select one from displayed options

Legal Form	Select one from displayed options
ID number	ID number (Company Number) of LEI applicant from the official register it is registered in.

* category has to be identified in more detail in case of the Government body

➔ **Block No 3 – LEI Entity details**

Field	Data to be filled
ID number	ID number (Company Number/IČO) of LEI applicant from the official register (populated from the Block No. 2)
Business name/ Name	The business name or name of LEI applicant (the data are populated automatically in case of entity registered in the Business Register)
Business Register - date of entry	Date when the company was entered into the Business Register (the data shall be populated automatically in case the entity is registered in the Business Register)
TAX ID	The Tax ID No. of LEI applicant
VAT ID	VAT ID No. of LEI applicant
Bank (name of bank)	Name of the LEI applicant 's bank
IBAN	IBAN of the LEI applicant
Address – street	Address of LEI applicant (in case of entity registered in the Business Register the data shall be populated automatically)
Address – town	
Address – postal code	
Address – country	
The address of the headquarters is identical to the address / place of business	If this option is selected, data from address fields are populated. Otherwise is necessary to enter this data.
Headquarters – street	
Headquarters – town	
Headquarters – postal code	
Headquarters – country	

In case of entity registered in the Business Register of the Slovak Republic, or the Czech Republic the available data on the entity are populated automatically.

If a "Fund" category was selected as Entity Category in the Block No. 2, data in the Block No 3 for "Fund" category are following:

Field	Data to be filled
ID of Fund	ID number allocated to the fund by the NBS
Fund Name	Name of the Fund as registered in the NBS
Fund Establishment Date	Date when the Fund was established as registered in the NBS
LEI of Fund Manager	LEI of the Fund Manager
Name of Fund Manager	Name of the Fund Manager (in case LEI of the Fund Manager is entered this information will be populated automatically with data registered in the GLEIF)
ID No. of Fund Manager	Identification Number of the Fund Manager (in case LEI of the Fund Manager is entered this information will be populated automatically with data registered in the GLEIF)
Address – street	Registered Address of the Fund Manager (in case LEI of the Fund Manager is entered this information will be populated automatically with data registered in the GLEIF)
Address – town	
Address – postal code	
Address – country	
TAX ID	The Tax ID No. of the Fund Manager
VAT ID	VAT ID No. of the Fund Manager
Bank (name of bank)	Name of the LEI the Fund Manager's bank
IBAN	IBAN of the Fund Manager
LEI of Umbrella Fund*	LEI of the Umbrella Fund (if exists)
Name of Umbrella Fund*	Name of the Umbrella Fund (if exists) as registered in the NBS
ID of Umbrella Fund*	ID of the Umbrella Fund (if exists) as registered in the NBS

* Information is entered only if the fund is as sub-fund of the other fund.

In case category "branch" was selected in the Block No. 2, except above stated data on the headquarters the applicant shall insert in the Block No. 3 also the LEI of the headquarters, its identification No, registered name, address and the date of beginning of the legal relationship, which is the registration date of the foreign branch in the Business Register.

➔ **Block No. 4 –Parent Company**

The LEI applicant shall select from offered options to answer the question "Does the entity have a Parent Company?"

In case the LEI applicant selected option *1.1 Yes, and the consolidating Parent Company has a LEI code assigned*, data on a Direct Parent Company in following block of data shall be filled in. The applicant will be redirected to Block No 5 after entering this information.

Field	Data to be filled
LEI	LEI of the Direct Parent Company
Business Name	Business Name of the Direct Parent Company
Date of beginning of the legal relationship	Date from which this company is your Parent Company
Accounting standards	Selection from code list of accounting principles under which consolidated financial statement was prepared. 1. International Financial Reporting Standards (IFRS). 2. Generally Accepted Accounting Principles (USGAAP). 3. Other accounting principles.
Date of beginning of accounting period	Date of beginning of accounting period for which the consolidated financial statements are prepared.
Last Day of accounting period	the last day of the accounting period for which the consolidated financial statements are prepared
Link to consolidated financial statements	Link to website where the consolidated financial statements are published (mandatory only if documents defined below were not attached).
Attached documents	Please attach file with the consolidated financial statements (mandatory only if link to website where the consolidated financial statements are published were not provided).
	The other fields are for information only and are not mandatory

If the LEI applicant selected option *1.2 Yes, but LEI was not assigned to the consolidating Parent Company*, the applicant is redirected to the Block No 6.

If the LEI applicant selected option *1.3 YES, but this is not a consolidating Parent Company*, the applicant is redirected to the Block No. 6.

If the LEI applicant selected option *1.4 YES, and there is reason not to report the Parent Company*, the LEI applicant is redirected to the Block No 6.

If the LEI applicant selected option *1.5 NO, owner of the company is one or several natural persons*, the applicant is redirected to the Block No. 6.

If the LEI applicant selected option *1.6 NO, owners of the company are not known*, the applicant is redirected to the Block No. 6.

➔ **Block No. 5 – Ultimate Parent Company.**

In the block No. 5 the applicant provides information to the question "Does other company exist in the ownership hierarchy with higher position than specified company?"

If the applicant selected option *2.1 YES, and LEI has been assigned to the consolidating Parent Company*, the applicant shall enter data on the Ultimate Parent Company in following block:

Field	Data to be filled in
LEI	LEI of the Ultimate Parent Company
Business Name	Business Name of the Ultimate Parent Company
Date of beginning of the legal relationship	Date from which this company is your Parent Company
Accounting standard	Select from list of accounting principles under which consolidated financial statement was prepared: 1. International Financial Reporting Standards (IFRS) 2. Generally Accepted Accounting Principles (USGAAP) 3. Other accounting standard
Date of beginning of accounting period	Date of beginning of accounting period for which the consolidated financial statements are prepared
Last day of accounting period	The last day of the accounting period for which the consolidated financial statements are prepared.
Link to consolidated financial statements	Link to website where the consolidated financial statements are published (mandatory only if documents defined below were not attached)
Attached documents	Please attach file with consolidated financial statements (mandatory only if link to website where the consolidated financial statements are published was not provided)
	Other field are for information only and are not mandatory

If the applicant selected option *2.2 YES, but LEI was not assigned to the consolidating Parent Company*, the applicant will be redirected to the Block No 6.

If the applicant selected option *2.4 YES, but there is reason not to report this Parent Company*, the applicant will be redirected to the Block No 6.

If the applicant selected option *2.7 NO, there is no any other consolidating Parent Company (Direct and Ultimate Parent Company are identical)*, the applicant is redirected to the Block No. 6.

➔ **Block No. 6 – Terms and Conditions**

In the block No. 6 of the LEI assignment application the applicant accepts the Terms and Conditions and gives agreement with processing of personal data. The applicant is not allowed to submit the LEI application unless these two requirements are accepted. Agreement with the Terms and Conditions is expressed by ticking of checkbox "The applicant accepts the Terms and Conditions for assigning, renewal and transfer of LEI." The application is sent by clicking the "Finish" button.

After submitting of the LEI application a message on accepting the application shall be displayed. In case the application is not accepted, the system shall display the reason. The applicant shall be informed on processing of accepted application via e-mail.

In this part is provided a link for the Terms and Conditions.

5. Data Verification by CDCP

CDCP verifies following data after submitting of LEI application:

- ➔ If the entity is existing,
- ➔ authorization to act on behalf of applicant,
- ➔ correctness of all data stated in the application,
- ➔ documents to be attached to the application,
- ➔ potential duplicity of LEI assignment.

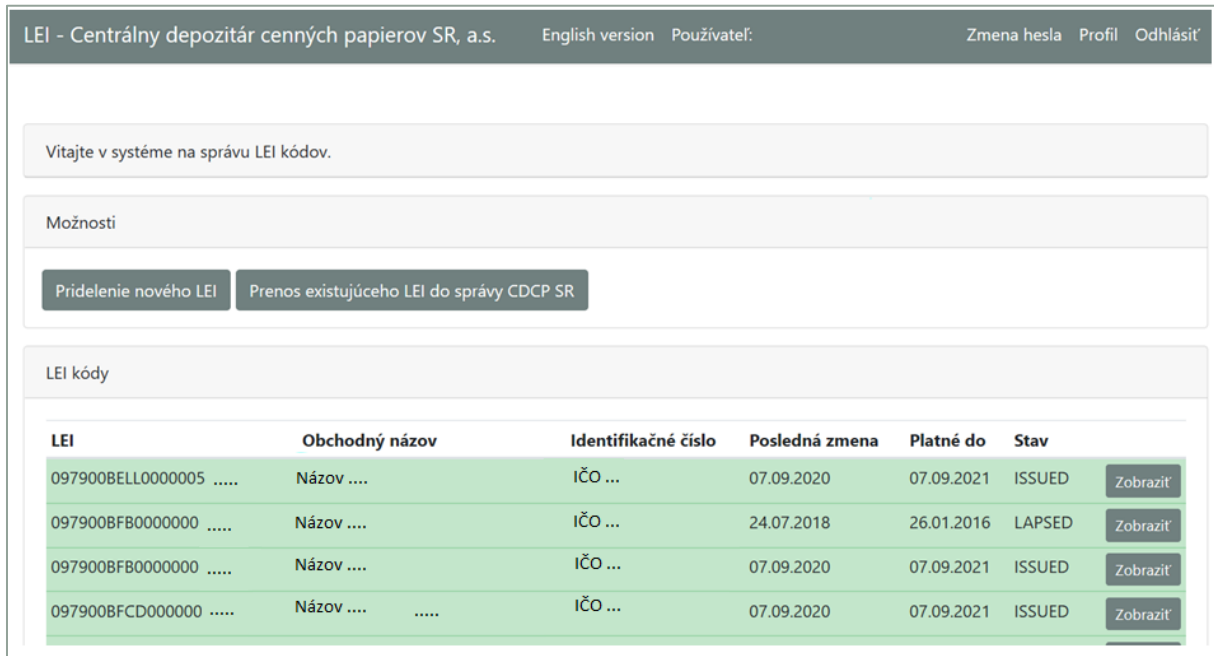
If additional documents or consultation are needed to verify data in the application, CDCP contacts the LEI applicant usually via e-mail.

After successful verification of data in the application, CDCP sends a payment instruction to the contact e-mail address stated in section 4. *LEI assignment application* along with request for payment of LEI assignment fee.

To ensure correct matching of the payment with relevant LEI assignment application, the variable symbol and CDCP account no. stated in the payment instruction has to be included in the payment.

6. LEI Assignment

After verifying information in section 5, CDCP shall assign LEI without undue delay upon payment of the advance-invoice by the LEI applicant. The applicant is informed about the LEI assignment by an e-mail message to which the information about the LEI is attached along with the date of the next LEI renewal. At the same time, the information about the LEI is displayed when logged in to the LEI Application, and on the website of CDCP.



The screenshot shows the user interface of the LEI application. At the top, there is a navigation bar with the text "LEI - Centrálny depozitár cenných papierov SR, a.s.", "English version", "Používateľ:", and "Zmena hesla Profil Odhlásiť". Below this is a welcome message: "Vítajte v systéme na správu LEI kódov." A section titled "Možnosti" contains two buttons: "Pridelenie nového LEI" and "Prenos existujúceho LEI do správy CDCP SR". The main section is titled "LEI kódy" and contains a table with the following columns: LEI, Obchodný názov, Identifikačné číslo, Posledná zmena, Platné do, Stav, and a "Zobraziť" button for each row.

LEI	Obchodný názov	Identifikačné číslo	Posledná zmena	Platné do	Stav	
097900BELL0000005	Názov	IČO ...	07.09.2020	07.09.2021	ISSUED	Zobraziť
097900BFB0000000	Názov	IČO ...	24.07.2018	26.01.2016	LAPSED	Zobraziť
097900BFB0000000	Názov	IČO ...	07.09.2020	07.09.2021	ISSUED	Zobraziť
097900BFCD000000	Názov	IČO ...	07.09.2020	07.09.2021	ISSUED	Zobraziť

If the applicant was not delivered information on assignment of LEI to its contact e-mail address after paying the advance invoice, it is necessary to contact CDCP.

The LEI is valid for one year from the date of its assignment. For the LEI renewal refer to section 7. *LEI renewal*.

7. LEI Renewal

6 weeks prior to the LEI expiration date CDCP sends to contact e-mail address of LEI Entity an e-mail with a call for LEI code renewal.

Application for renewal of LEI can be submitted only by registered and logged-in applicant (refer to: 3 Registration of Applicant) via the electronic form, which CDCP shall make available to the applicant upon logging in to the LEI application. CDCP shall send the payment instruction with information on payment for LEI renewal to applicant's e-mail only after submitting this application and its successful validation.

To submit the LEI renewal application, the logged applicant shall use the "Renewal" button on the start page after logging to the web application (picture below),

Vítajte v systéme na správu LEI kódov.

Možnosti

Pridelenie nového LEI Prenos existujúceho LEI do správy CDCP SR

LEI kódy

LEI	Obchodný názov	Identifikačné číslo	Posledná zmena	Platné do	Stav	Zobraziť	Obnoviť
097900BELH0000001081	Názov subjektu	45966265	16.03.2022	08.09.2022	ISSUED	Zobraziť	
097900BELL0000005735	Názov subjektu	36595659	12.09.2021	12.09.2022	ISSUED	Zobraziť	
097900BFB0000008288	Názov subjektu	47482214	16.02.2022	17.10.2022	ISSUED	Zobraziť	
097900BFB0000008773	Názov subjektu	36405116	06.03.2022	06.03.2023	ISSUED	Zobraziť	
097900BFC0000008852	Názov subjektu	47127406	12.09.2021	12.09.2022	ISSUED	Zobraziť	
097900BFE50000026167	Názov subjektu	SK35820705SPO29	02.02.2022	02.02.2023	ISSUED	Zobraziť	
097900BFEI0000024415	Názov subjektu	36248801	06.02.2022	06.02.2023	ISSUED	Zobraziť	
097900BJKH0000213587	Názov subjektu	52573354	08.10.2020	08.10.2020	LAPSED	Zobraziť	Obnoviť
315700KGSF2L53BCGA93	Názov subjektu	34111565	25.01.2019	24.01.2019	LAPSED	Zobraziť	Obnoviť
549300Z71CWGWQ2YUK19	Názov subjektu	36459224	15.03.2022	15.03.2022	LAPSED	Zobraziť	Obnoviť

or by using of the "LEI Renewal Application" button on the screen *Options for LEI* (picture below).

Možnosti pre LEI: 097900BJKH0000213587

Žiadosť o obnovu LEI

Názov subjektu - Podané žiadosti

LEI	Číslo žiadosti	Typ žiadosti	Stav žiadosti
097900BJKH0000213587	2000001827	LEI	VYBAVENÁ
097900BJKH0000213587	2020000030	LEI_APPLICANT_EXCHANGE	VYBAVENÁ
097900BJKH0000213587	2020000223	LEI_RENEWAL	ZAMIETNUTÁ
097900BJKH0000213587	2022001089	LEI_RENEWAL	ZAMIETNUTÁ

Part of the LEI renewal request is also:

- confirmation of the data correctness of the LEI Entity,
- LEI Entity Data Update.

When verifying the request for renewal and update of the LEI data, CDCP adheres to the same verification procedures as in case of *Application for assignment of LEI* (refer to section 5. *Data Verification by CDCP*, or section 8. *LEI Data Update*).

If additional documents for data verification or consultation are needed, CDCP will contact the LEI Entity. A payment instruction with information on LEI renewal fee and payment requirement is sent to the contact e-mail address after successful submitting of the LEI renewal request and its successful verification.

After payment of the LEI renewal fee and successful verification of request for renewal and update the LEI data, CDCP will renew the LEI and informs the LEI Entity via e-mail sent to its contact e-mail address.

The LEI renewal request includes acceptance of Terms and Conditions and agreement of the LEI entity with processing of personal data. The applicant is not allowed to submit an application for LEI renewal unless these two requirements are accepted.

8. LEI Data Update

8.1 Update of data on the LEI entity (LEI_SUBJECT_MODIFICATION)

The LEI entity is required to update its reference data:

- after each change,
- but at least once a year when LEI is to be renewed.

LEI data update can be performed only after logging to the LEI application (refer to: 3. *Registration of the applicant*).

The data update is performed by logged in user by selecting the LEI and clicking the „Request for Data Update“ button on the screen “Options for LEI”. Subsequently, the user will see all LEI data that can be updated. If needed, user can attach documents which are specified by the Terms and Conditions in electronic form (Power of Attorney, financial statements, etc.).

When CDCP verifies the LEI Data Update request it applies the same verification procedures as in case of Application for assignment of LEI (refer to section: 5. Data Verification by CDCP).

If additional documents or consultation to verify data in the application are needed, CDCP shall contact the LEI Entity.

After successful verification of data in the date update request, CDCP shall send information about successful data verification to LEI Entity to its contact e-mail address.

The LEI Data Update request includes acceptance of Terms and Conditions and agreement of the applicant with processing of personal data. The applicant is not allowed to submit the application for LEI Data Update unless these two requirements are accepted.

8.2 Update of data on the applicant (LEI_APPLICANT_MODIFICATION)

The data are updated by logged in applicant by selecting the LEI and clicking the „Request for Applicant Data Update” button. Subsequently, options to enter new data shall be displayed to the user (e-mail, phone contact).

8.3 Applicant Replacement (LEI_APPLICANT_EXCHANGE)

The applicant can be replaced by the logged in user by selecting the LEI and clicking the “Request for applicant exchange” button, and subsequent entering of all its data pursuant to the Block No. 3.

9. Transfer of LEI to CDCP Register

LEI Transfer to registry of CDCP is possible only after the applicant’s successful registration and logging in to the LEI application (refer to: 3. *Registration of the applicant*).

Submitting of LEI transfer application is performed by logged user by selecting the LEI and clicking the „Transfer of existing LEI to CDCP register” button.

The screenshot shows a web form titled "Žiadosť o prenos LEI" (Request for LEI transfer). The form is contained within a light gray border and has navigation buttons at the top and bottom: "<< Návrat na úvodnú stránku" (Return to home page) on the left and "Ďalej >>" (Next) on the right. The form fields are as follows:

Žiadosť o prenos LEI	
LEI kód	<input type="text"/>
Odosielajúci LOU	<input type="text"/>
Obchodné meno/názov	<input type="text"/>
Identifikačné číslo (IČO, bez medzier)	<input type="text"/>

When the request for LEI transfer is being submitted, the applicant shall provide following data in the request:

- LEI transferred from other LOU

Data populated automatically after entering transferred LEI:

- Specification of the sending LOU
- Name of LEI Entity
- Identification number (IČO)

Subsequently the LEI transfer applicant follows procedure described in section no. 4. *LEI assignment application*.

CDCP shall re-validate and renew the data if the LEI transferred to CDCP registry from other LOU has LEI registration status ISSUED or LAPSED at the moment when transfer of LEI is requested.

10. LEI Entity Data Update Initiative

Any person can send to CDCP initiative for LEI Entity Data Update if inaccuracies and discrepancies in the recorded data are found. The sample form for the initiative is published on the CDCP's website in the LEI section <https://www.cdcp.sk/lei/> in the section: Documents.

The LEI Entity Data Update motion has to be sent to CDCP's e-mail address: lei@cdcp.sk. CDCP evaluates the input given in terms of clarity and completeness and performs the verification of the LEI data and, if necessary, updates the data. The person initiating the complaint and the LEI Entity against whom the complaint is directed, shall be informed by e-mail about processing or the result of the complaint.

If CDCP detects discrepancies in the LEI reference data, CDCP verifies this information and communicates that information to the appropriate LEI Entity by e-mail, prompting it to confirm the accuracy of the information or to deliver the related documentation.

If the LEI Entity confirms the correctness of the information CDCP shall make the respective changes.

If the LEI Entity remains inactive and fails to confirm the correctness of the information or to submit the necessary documents within 10 Working Days from the date of the notice thereof and according to CDCP it has been proved without any doubt (in particular if results so from publicly available registers) that the Reference Data of the LEI Entity have been changed, CDCP may change the Reference Data of the LEI Entity. The LEI Entity is informed about the update of the data via e-mail message.

LEI Entity Data Update initiative can be raised also via web site www.gleif.org. The procedure is the same as in case of initiative raised via form published on the web site of CDCP.

11. List of Assigned LEIs

CDCP publishes all LEIs assigned by CDCP on its website in LEI section <https://www.cdcp.sk/lei/>; LEIs are published on a daily basis and free of charge.

LEI can be searched by LEI, Company ID No. or business name / name of LEI Entity, or can be downloaded in xml format.

LEI can also be searched directly on the GLEIF web site, where files with LEI assigned by all LOUs are also available for download.

12. Fees for the LEI Assignment and LEI Renewal

Fees for the LEI assignment and recovery are charged by CDCP based on the Scale of Fees of CDCP, which is available on the CDCP website [Scale of Fees – CENTRÁLNÝ DEPOZITÁR CENNÝCH PAPIEROV SR, a.s.](#)

13. Overview of LEI Statuses

List of LEI statuses displayed to the user:

Status	Description
ISSUED	LEI code is valid. Its expiration date was not reached.
LAPSED	The expiration date of the LEI code was reached, no renewal fee has been paid, or the applicant didn't submit request for LEI renewal.
PENDING_TRANSFER	LEI code pending transfer to other LOU
PENDING_ARCHIVAL	LEI code pending finalisation of transfer to other LOU
MERGED	LEI entity ceased to exist due to merger
RETIRED	LEI entity ceased to exist
ANNULED	LEI code is not valid due to invalid data
DUPLICATE	LEI code is duplicate
TRANSFERRED	LEI code was transferred to be administered by different LOU